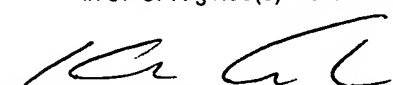
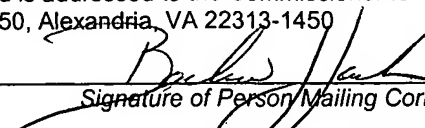


IRW

| TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT Under 37 CFR 1.97(b), (c), or (d) | | | Docket No. 4100P9/CMP/CMP/RKK |
|---|---------------------------------|---|----------------------------------|
| In re Application of: Hu, et al. | | | |
| Serial No. 10/727,724 | Filing Date December 3, 2003 | Examiner | Group Art Unit |
| Title: PAD ASSEMBLY FOR ELECTROCHEMICAL MECHANICAL POLISHING | | | |
| Address to: Commissioner for Patents Alexandria, VA 22313-1450 | | | |
| 37 CFR 1.97(b) | | | |
| 1. <input checked="" type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114. | | | |
| 37 CFR 1.97(c) | | | |
| 2. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), but prior to the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by the statement or fee as indicated below. | | | |
| 37 CFR 1.97(d) | | | |
| 3. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(c), but on or before payment of the issue fee and is accompanied by the statement and fee as indicated below. | | | |
| Required Statements and/or Fees Under 37 CFR 1.97(c) or (d) | | | |
| <input type="checkbox"/> Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(1)) | | | |
| <input type="checkbox"/> No item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(2)) | | | |
| <input type="checkbox"/> The fee set forth in 37 CFR 1.17(p). Please credit any overpayment or charge any insufficiencies to deposit account number 20-0782. | | | |
| 37 CFR §1.704(d) | | | |
| 4. <input type="checkbox"/> Each item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 CFR §1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement. | | | |
|  Keith P. Taboada, Esq. Reg. No. 45,150 Moser, Patterson & Sheridan, LLP Attorneys at Law 595 Shrewsbury Avenue, Suite 100 Shrewsbury, New Jersey 07702 732-530-9404 | | Dated: <u>Jan 25, 2005</u> Certificate of Mailing by First Class Mail I certify that this document is being deposited on <u>1-27-2005</u> with the U.S. Postal Service as first class mail under 37 CFR §1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450  Signature of Person Mailing Correspondence Barbara J. Jackson Typed or Printed Name of Person Mailing Correspondence | |



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

JAN 31 2005

(Use as many sheets as necessary)

Sheet

of 6

| | |
|------------------------|--------------------|
| Application Number | 10/727,724 |
| Filing Date | December 3, 2003 |
| First Named Inventor | Hu, et al. |
| Group Art Unit | 3723 |
| Examiner Name | Thomas, David B. |
| Attorney Docket Number | 4100P9/CMP/CMP/RKK |
| Submission Date | |

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|--|--------------------------------|--|---|
| | | Number-Kind Code ² (if known) | | | |
| | A1 | US-1,601,642 | 09/28/26 | Parker | |
| | A2 | US-1,927,162 | 09/19/33 | Fiedler et al. | |
| | A3 | US-2,112,691 | 03/29/38 | Crowder | |
| | A4 | US-2,240,265 | 04/29/41 | Nachtman | |
| | A5 | US-2,392,687 | 01/08/46 | Nachtman | |
| | A6 | US-2,431,065 | 11/18/47 | Miller | |
| | A7 | US-2,451,341 | 10/12/48 | Jernstedt | |
| | A8 | US-2,453,481 | 11/09/48 | Wilson | |
| | A9 | US-2,454,935 | 11/30/48 | Miller | |
| | A10 | US-2,456,185 | 12/14/48 | Grube | |
| | A11 | US-2,457,510 | 12/28/48 | van Ornum | |
| | A12 | US-2,458,676 | 01/11/49 | Brenner et al. | |
| | A13 | US-2,461,556 | 02/15/49 | Lorig | |
| | A14 | US-2,473,290 | 06/14/49 | Millard | |
| | A15 | US-2,477,808 | 08/02/49 | Jones | |
| | A16 | US-2,479,323 | 08/16/49 | Davis | |
| | A17 | US-2,480,022 | 08/23/49 | Hogaboom | |
| | A18 | US-2,490,055 | 12/06/49 | Hoff | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
|--------------------|-----------------------|---|--------------------------------|--|---|----------------|
| | | Country Code ³ -Number ⁴ -Kind Code ⁵ (if known) | | | | |
| | B1 | JP 05-277957 | 10/26/1993 | Nippon Micro Kooteingu KK | | X |
| | B2 | JP 10-006213 | 1/13/1998 | Tokyo Seimitsu Co Ltd | | X |
| | B3 | JP 2000-218513 | 8/8/2000 | NEC Corp | | X |
| | B4 | JP 2001-179611 | 7/3/2001 | NEC Corp | | X |
| | B5 | JP 2001-244223 | 9/7/2001 | Hitachi Chem Co Ltd | | X |

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

2

of

6

Application Number

10/727,724

Filing Date

December 3, 2003

First Named Inventor

Hu, et al.

Group Art Unit

3723

Examiner Name

Thomas, David B.

Attorney Docket Number

4100P9/CMP/CMP/RKK

Submission Date

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|--|--------------------------------|--|---|
| | | Number-Kind Code ² (if known) | | | |
| | A19 | US-2,495,695 | 01/31/50 | Camin et al. | |
| | A20 | US-2,500,205 | 03/14/50 | Schaefer | |
| | A21 | US-2,500,206 | 03/14/50 | Schaefer et al. | |
| | A22 | US-2,503,863 | 04/11/50 | Bart | |
| | A23 | US-2,506,794 | 05/09/50 | Kennedy et al. | |
| | A24 | US-2,509,304 | 05/30/50 | Klein | |
| | A25 | US-2,512,328 | 06/20/50 | Hays | |
| | A26 | US-2,517,907 | 08/08/50 | Mikulas | |
| | A27 | US-2,519,945 | 08/22/50 | Twele et al. | |
| | A28 | US-2,530,677 | 11/21/50 | Berkenkotter et al. | |
| | A29 | US-2,535,966 | 12/26/50 | Teplitz | |
| | A30 | US-2,536,912 | 01/02/51 | Cobertt | |
| | A31 | US-2,539,898 | 01/30/51 | Davis | |
| | A32 | US-2,540,175 | 02/06/51 | Rosenqvist | |
| | A33 | US-2,544,510 | 03/06/51 | Prahl | |
| | A34 | US-2,544,943 | 05/29/51 | Farmer | |
| | A35 | US-2,549,678 | 04/17/51 | Fiandt | |
| | A36 | US-2,556,017 | 06/05/51 | Vonada | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
|--------------------|-----------------------|---|--------------------------------|--|---|----------------|
| | | Country Code ³ -Number ⁴ -Kind Code ⁵ (if known) | | | | |
| | B6 | KR 2003-037158 | 05/12/2003 | Samsung Electronics | | Abst |
| | B7 | JP 61265279 | 11/25/1986 | Tohoku Metal Ind. Ltd. | | Abst |
| | B8 | JP-2870537 | 3/17/1999 | NEC Corp | | X |
| | B9 | SU 1618538 | 1/7/1991 | Rredriyatie | | Abst |
| | B10 | WO 93/15879 | 8/19/1993 | 3M Co. | | |

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

3

of

6

Application Number

10/727,724

Filing Date

December 3, 2003

First Named Inventor

Hu, et al.

Group Art Unit

3723

Examiner Name

Thomas, David B.

Attorney Docket Number

4100P9/CMP/CMP/RKK

Submission Date

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|--|--------------------------------|--|---|
| | | Number-Kind Code ² (if known) | | | |
| | A37 | US-2,560,534 | 07/17/51 | Adler | |
| | A38 | US-2,560,966 | 07/17/51 | Lee | |
| | A39 | US-2,569,577 | 10/02/51 | Reading | |
| | A40 | US-2,569,578 | 10/02/51 | Rieger | |
| | A41 | US-2,571,709 | 10/16/51 | Gray | |
| | A42 | US-2,576,074 | 11/20/51 | Nachtman | |
| | A43 | US-2,587,630 | 03/04/52 | Konrad et al. | |
| | A44 | US-2,619,454 | 11/25/52 | Zapponi | |
| | A45 | US-2,633,452 | 03/31/53 | Hogaboom, Jr., et al. | |
| | A46 | US-2,646,398 | 07/21/53 | Henderson | |
| | A47 | US-2,656,283 | 10/20/53 | Fink et al. | |
| | A48 | US-2,656,284 | 10/20/53 | Toulmin | |
| | A49 | US-2,657,457 | 11/03/53 | Toulmin | |
| | A50 | US-2,657,177 | 10/27/53 | Rendel | |
| | A51 | US-2,673,836 | 03/30/54 | Vonada | |
| | A52 | US-2,674,550 | 04/06/54 | Dunlevy et al. | |
| | A53 | US-2,675,348 | 04/13/54 | Greenspan | |
| | A54 | US-2,680,710 | 06/08/54 | Kenmore et al. | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
|--------------------|-----------------------|---|--------------------------------|--|---|----------------|
| | | Country Code ³ -Number ⁴ -Kind Code ⁵ (if known) | | | | |
| | B11 | WO 99/65072 | 12/16/1999 | Speedfam-IPEC Corp | | |
| | B12 | WO 02/075804 | 9/26/2002 | Applied Materials | | |
| | B13 | | | | | |
| | B14 | | | | | |
| | B15 | | | | | |

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 4

of 6

| | |
|------------------------|--------------------|
| Application Number | 10/727,724 |
| Filing Date | December 3, 2003 |
| First Named Inventor | Hu, et al. |
| Group Art Unit | 3723 |
| Examiner Name | Thomas, David B. |
| Attorney Docket Number | 4100P9/CMP/CMP/RKK |
| Submission Date | |

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|--|--------------------------------|--|---|
| | | Number-Kind Code ² (if known) | | | |
| | A55 | US-2,684,939 | 07/27/54 | Geese | |
| | A56 | US-2,689,215 | 09/14/54 | Bart | |
| | A57 | US-2,695,269 | 11/23/54 | de Witz et al. | |
| | A58 | US-2,696,859 | 08/17/54 | Gray et al. | |
| | A59 | US-2,698,832 | 01/04/95 | Swanson | |
| | A60 | US-2,706,173 | 04/12/55 | Wells et al. | |
| | A61 | US-2,706,173 | 04/12/55 | Wells et al. | |
| | A62 | US-2,706,175 | 04/12/55 | Licharz | |
| | A63 | US-2,708,445 | 05/17/55 | Manson et al. | |
| | A64 | US-2,710,834 | 06/14/55 | Vrilakas | |
| | A65 | US-2,711,993 | 06/28/55 | Lyon | |
| | A66 | US-3,607,707 | 09/21/71 | Chenevier | |
| | A67 | US-3,334,041 | 08/01/67 | Dyer et al. | |
| | A68 | US-3,433,730 | 03/18/69 | Kennedy et al. | |
| | A69 | US-3,476,677 | 11/04/69 | Corley et al. | |
| | A70 | US-3,942,959 | 03/09/76 | Markoo, et al. | |
| | A71 | US-3,992,178 | 11/16/76 | Markoo, et al. | |
| | A72 | US-4,119,515 | 10/10/79 | Costakis | |

A73

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
|--------------------|-----------------------|---|--------------------------------|--|---|----------------|
| | | Country Code ³ -Number ⁴ -Kind Code ⁵ (if known) | | | | |
| | B16 | | | | | |
| | B17 | | | | | |
| | B18 | | | | | |
| | B19 | | | | | |
| | B20 | | | | | |

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

5

of

6

Application Number

10/727,724

Filing Date

December 3, 2003

First Named Inventor

Hu, et al.

Group Art Unit

3723

Examiner Name

Thomas, David B.

Attorney Docket Number

4100P9/CMP/CMP/RKK

Submission Date

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|--|--------------------------------|--|---|
| | | Number-Kind Code ² (if known) | | | |
| | A73 | US-4,312,716 | 01/26/82 | Maschler et al. | |
| | A74 | US-4,752,371 | 06/21/88 | Kreisel et al. | |
| | A75 | US-4,772,361 | 09/20/88 | Dorsett, et al. | |
| | A76 | US-5,061,294 | 10/29/91 | Harmer, et al. | |
| | A77 | US-5,066,370 | 11/19/91 | Andreshak et al. | |
| | A78 | US-5,562,529 | 10/08/96 | Kishii, et al. | |
| | A79 | US-5,823,854 | 10/20/98 | Chen | |
| | A80 | US-5,882,491 | 03/16/99 | Wardle | |
| | A81 | US-5,948,697 | 09/07/99 | Hata | |
| | A82 | US-5,985,093 | 11/16/99 | Chen | |
| | A83 | US-6,176,998 | 01/23/01 | Wardle et al. | |
| | A84 | US-6,183,354 | 02/06/01 | Zuniga, et al. | |
| | A85 | US-6,190,494 | 02/20/01 | Dow | |
| | A86 | US-6,319,420 | 11/20/01 | Dow | |
| | A87 | US-6,402,925 | 06/11/02 | Talieh | |
| | A88 | US-6,431,968 | 08/13/02 | Chen, et al. | |
| | A89 | US-6,447,668 | 09/10/02 | Wang | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
|--------------------|-----------------------|---|--------------------------------|--|---|----------------|
| | | Country Code ³ -Number ⁴ -Kind Code ⁵ (if known) | | | | |
| | B21 | | | | | |
| | B22 | | | | | |
| | B23 | | | | | |
| | B24 | | | | | |
| | B25 | | | | | |

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

| | |
|------------------------|--------------------|
| Application Number | 10/727,724 |
| Filing Date | December 3, 2003 |
| First Named Inventor | Hu, et al. |
| Group Art Unit | 3723 |
| Examiner Name | Thomas, David B. |
| Attorney Docket Number | 4100P9/CMP/CMP/RKK |
| Submission Date | |

Sheet 6

of 6

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|--|--------------------------------|--|---|
| | | Number-Kind Code ² (if known) | | | |
| | A91 | US-6,479,962 | 11/12/02 | Ziemkowski, et al. | |
| | A92 | US-6,537,144 | 03/25/03 | Tsai, et al. | |
| | A93 | US-6,666,959 | 12/23/03 | Uzoh, et al. | |
| | A94 | US-2002/0123300 | 09/05/02 | Jones, et al. | |
| | A95 | US-2003/0034131 | 02/20/03 | Park et al. | |
| | A96 | US- | | | |
| | A97 | US- | | | |
| | A98 | US- | | | |
| | A99 | US- | | | |
| | A100 | US- | | | |
| | A101 | US- | | | |
| | A102 | US- | | | |
| | A103 | US- | | | |
| | A104 | US- | | | |
| | A105 | US- | | | |
| | A106 | US- | | | |
| | A107 | US- | | | |
| | A108 | US- | | | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
|--------------------|-----------------------|---|--------------------------------|--|---|----------------|
| | | Country Code ³ -Number ⁴ -Kind Code ⁵ (if known) | | | | |
| | B26 | | | | | |
| | B27 | | | | | |
| | B28 | | | | | |
| | B29 | | | | | |
| | B30 | | | | | |

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Docket No.: 4100P9 / CMP / CMP / RKK
Applicant: Hu, et al
Filed: December 3, 2003

The following has been received in the U.S. Patent and Trademark Office on the date stamped hereupon:

| | |
|--|---|
| <input type="checkbox"/> Specification (___ pages) | <input type="checkbox"/> Transmittal Letter |
| <input type="checkbox"/> Claims (___ pages) | <input type="checkbox"/> Fee Transmittal |
| <input type="checkbox"/> Abstract (1 page) | <input type="checkbox"/> Assignment & Cover Sheet |
| <input type="checkbox"/> Declaration/Power of Attorney | <input type="checkbox"/> Drawings (___ sheets) |
| <input type="checkbox"/> Petition | <input type="checkbox"/> Check No. _____ for \$ _____ |
| <input type="checkbox"/> Request for _____ | <input checked="" type="checkbox"/> Disclosure Statement & PTO-1449 |
| <input checked="" type="checkbox"/> <u>1st Class</u> Mail Certificate, dated <u>1-27-2005</u> | <input checked="" type="checkbox"/> Copies of <u>12</u> References |

This application has been assigned serial number 10/727,724
Postcard Log# _____ BJ Confirmation # _____

Docket No.: APPN 4100P9
Applicant: Hu, et al
Filed: December 3, 2003

The following has been received in the U.S. Patent and Trademark Office on the date stamped hereupon:

| | |
|--|---|
| <input type="checkbox"/> Specification (___ pages) | <input type="checkbox"/> Transmittal Letter |
| <input type="checkbox"/> Claims (___ pages) | <input type="checkbox"/> Fee Transmittal |
| <input type="checkbox"/> Abstract (1 page) | <input type="checkbox"/> Assignment & Cover Sheet |
| <input type="checkbox"/> Declaration/Power of Attorney | <input type="checkbox"/> Drawings (___ sheets) |
| <input type="checkbox"/> Petition | <input type="checkbox"/> Check No. _____ for \$ _____ |
| <input type="checkbox"/> Request for _____ | <input checked="" type="checkbox"/> Disclosure Statement & PTO-1449 |
| <input checked="" type="checkbox"/> <u>1st Class</u> Mail Certificate, dated <u>1-27-2005</u> | <input checked="" type="checkbox"/> Copies of <u>12</u> References |

This application has been assigned serial number 10/727,724
Postcard Log# 20968 BJ Confirmation # _____